

EXHIBIT 3

AO 10
Rev. 3/2023**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2023***Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 13101-13111)*

| | | |
|--|--|--|
| 1. Person Reporting (last name, first, middle initial) RAGGI, REENA | 2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR | 3. Date of Report 08/12/2024 |
| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE | 5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | 6. Reporting Period 01/01/2023 to 12/31/2023 |
| | 5b. <input checked="" type="checkbox"/> Amended Report | |
| 7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201 | | |
| IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i> | | |

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*☐ NONE *(No reportable positions.)*POSITIONNAME OF ORGANIZATION/ENTITY

| | |
|-----------------------|--|
| 1. TRUSTEE | WILLIAM NELSON CROMWELL FOUNDATION, NEW YORK, NEW YORK |
| 2. EMPLOYEE-PROFESSOR | NEW YORK UNIVERSITY LAW SCHOOL |
| 3. | |
| 4. | |
| 5. | |

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*☒ NONE *(No reportable agreements.)*DATEPARTIES AND TERMS

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |

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Name of Person Reporting

RAGGI, REENA

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u> (yours, not spouse's) |
|-------------|---|--|
| 1. 2023 | NEW YORK UNIVERSITY LAW SCHOOL - SALARY | \$30,000.00 |
| 2. | | |
| 3. | | |
| 4. | | |

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE</u> |
|-------------|----------------------------------|
| 1. 2023 | SEYFARTH SHAW LLP LAW OFFICE W-2 |
| 2. | |
| 3. | |
| 4. | |

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*☐ NONE *(No reportable reimbursements.)*

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|----------------------------|-----------------------|--------------------|-----------------------------|-------------------------------|
| 1. USC GOULD SCHOOL OF LAW | 11/13/2023-11/16/2023 | LAS ANGELES, CALIF | JURIST IN RESIDENCE PROGRAM | HOTEL AND MEALS |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |

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V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

| A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|-------------------------|---------------------------------|--------------------------------|--|
| | (1) Amount Code 1 (A-H) | (2) Type (e.g., div., rent, or int.) | (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | (1) Type (e.g., buy, sell, redemption) | (2) Date mm/dd/yy | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | |
| 1. CITIBANK CHECKING ACCOUNT | A | Interest | N | T | | | | | |
| 2. CITI PERSONAL WEALTH MANAGEMENT | | | | | | | | | |
| 3. -UNITED STATES TREAS NTS 2.50% 08/15/23 B/E DTD 08/15/13 | B | Interest | | | Redeemed | 08/15/23 | M | | |
| 4. -UNITED STATES TREAS NTS 0.250% 03/15/24 B/E DTD 03/15/21 | A | Interest | M | T | | | | | |
| 5. -UNITED STATES TREAS NTS 2.375% 08/15/24 B/E DTD 08/15/14 | C | Interest | M | T | | | | | |
| 6. -UNITED STATES TREAS NTS 2.875% 07/31/25 DTD 07/31/18 | D | Interest | N | T | Buy | 08/21/23 | N | | |
| 7. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA | | | | | Closed | 12/21/23 | O | | |
| 8. -PUTNAM SHORT DURATION BOND FUND CLASS A | D | Dividend | | | Sold | 08/23/23 | L | | |
| 9. -CASH ACCOUNT-CITIBANK BANK DEPOSIT PROGRAM | B | Interest | M | T | | | | | |
| 10. -UNITED STATES TREAS NTS 0.25% 03/15/24 B/E DTD 03/15/21 | B | Interest | L | T | | | | | |
| 11. -UNITED STATES TREAS NTS 3.625% 05/31/28 B/E DTD 05/31/23 | C | Interest | M | T | Buy | 08/23/23 | M | | |
| 12. UNITED STATES TREAS NTS 4-125% 01/31/25 B/E DTD 01/31/23 | C | Interest | N | T | Buy | 08/23/23 | N | | |
| 13. CHARLES SCHWAB-CONTRIBUTORY IRA-HIGHTOWER ADVISORS LLC | | | | | | | | | |
| 14. -CASH ACCOUNT-CHARLES SCHWAB | B | Interest | N | T | | | | | |
| 15. -ISHARES TR IS 1-5 YR IN GR CR BD ETF | | None | | | Sold | 02/23/23 | L | | |
| 16. -VANGUARD TOTAL BOND MARKET ETF | | None | | | Sold | 02/23/23 | L | | |
| 17. -CALVERT SHORT DURATION INC A MUTUAL FUNDS | | None | | | Sold | 02/22/23 | L | | |

| | | | | | |
|--|---|--|---|--|-------------------------|
| 1. Income Gain Codes: (See Columns B1 and D4) | A = \$1,000 or less F = \$50,001 - \$100,000 | B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 | C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 | D = \$5,001 - \$15,000 H2 = More than \$5,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes (See Columns C1 and D3) | J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 | M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q = Appraisal U = Book Value | R = Cost (Real Estate Only) V = Other | S = Assessment W = Estimated | T = Cash Market | |

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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| | (1) | (2) | (1) | (2) | (1) | (2) | (3) | (4) |
| | Amount Code 1 (A-H) | Type (e.g., div., rent, or int.) | Value Code 2 (J-P) | Value Method Code 3 (Q-W) | Type (e.g., buy, sell, redemption) | Date mm/dd/yy | Value Code 2 (J-P) | Gain Code 1 (A-H) |
| 18. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS | | None | | | Sold | 02/22/23 | L | |
| 19. -PIMCO TOTAL RETURN A MUTUAL FUNDS | | None | | | Sold | 02/22/23 | L | |
| 20. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS | | None | | | Sold | 02/22/23 | L | |
| 21. -TEMPLETON GLOBAL BD FD A | | None | | | Sold | 02/22/23 | K | |
| 22. -TEMPLETON GLOBAL TOTAL RET A | | None | | | Sold | 02/22/23 | K | |
| 23. -INVESCO S&P 500 EQUAL EFT | B | Dividend | M | T | | | | |
| 24. -UNITED STATES TREASURY 1.125% DUE 10/31/2026 | A | Interest | K | T | Buy | 02/23/23 | K | |
| 25. -UNITED STATES TREASURY 1.25% DUE 03/31/2028 | C | Interest | N | T | Buy | 02/23/23 | N | |
| 26. -UNITED STATES TREASURY 2.25% DUE 10/31/2024 | A | Interest | K | T | Buy | 02/23/23 | K | |
| 27. -UNITED STATES TREASURY 3% DUE 10/31/2025 | A | Interest | K | T | Buy | 02/23/23 | K | |
| 28. -UNITED STATES TREASURY 4/125% DUE 10/31/2027 | B | Interest | K | T | Buy | 02/23/23 | K | |
| 29. NATIONAL FINANCIAL SERVICES LLC-HIGHTOWER SECURITIES, LLC | | | | | | | | |
| 30. -FIDELITY GOVT MMKT CAPITAL RESERVES | A | Dividend | L | T | | | | |
| 31. -NEW YORK ST DORM AUTH REVS NON ST 3.00% 07/01/2028 | B | Interest | L | T | | | | |
| 32. -ALBANY CNTY N Y ARPT AUTH ARPT REV REV 3.00% 12/15/2028 | B | Interest | L | T | | | | |
| 33. -MONROE CNTY N Y PUB IMPT SERIAL BDS 3.00% 06/01/2029 | B | Interest | L | T | | | | |
| 34. -METROPOLITAN TRANSN AUTH N Y DEDICATED 11/15/2030 | A | Interest | K | T | | | | |

| | | | | | |
|--|--|--|--|--|------------------------|
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| 2. Value Codes (See Columns C1 and D3) | J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000 | M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000 | |
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| 35. -METROPOLITAN TRANSN AUTH N Y REV REF 4.00% 11/15/2034 | B | Interest | L | T | | | | | |
| 36. -HUDSON YDS INFRASTRUCTURE CIRO 5.00% 02/15/2037 | B | Interest | L | T | | | | | |
| 37. -CALVERT SHORT DURATION INC CL A-MUTUAL FUNDS | | None | | | Sold | 02/21/23 | L | | |
| 38. -UNITED STATES TREAS SER AL-2024 0.25000% 03/15/2024 NTS NOTE | C | Interest | M | T | | | | | |
| 39. -UNITED STATES TREAS NTS NOTE 2.500% 05/15/2024 | C | Interest | M | T | | | | | |
| 40. -UNITED STATES TREAS BD STRIOO ZERO CON 08/15/2023 | D | Interest | | | Redeemed | 08/15/23 | M | | |
| 41. -UNITED STATES TREAS SER BE-2024 3.00% 07/31/2024 NTS NOTE | D | Interest | M | T | | | | | |
| 42. -MAINSTAY MACKAY HIGH YIELD CORP BD CL A-MUTUAL FUND | | None | | | Sold | 02/21/23 | L | | |
| 43. -VIRTUS NEWFLEET LOW DUR CORE PLUS BD A-MUTUAL FUND | | None | | | Sold | 02/21/23 | K | | |
| 44. -VIRTUS NEWFLEET MLT SECTOR SH TERM BD A-MUTUAL FUND | | None | | | Sold | 02/21/23 | L | | |
| 45. -ALLSPRING SHORT TERM MUNI BOND FUND A | | None | | | Sold | 02/21/23 | L | | |
| 46. -UNITED STATES TREASURY SER U-2028 3.50% 01/31/2028 | D | Interest | N | T | Buy | 02/23/23 | N | | |
| 47. -US TREAS SEC STRIPPED INT PMT 0.00% 08/15/2034 ZERO CPN | A | Interest | N | T | Buy | 11/13/23 | N | | |
| 48. CHARLES SCHWAB ONE ACCOUNT | A | Interest | K | T | | | | | |
| 49. CHARLES SCHWAB-INHERITED IRA | | | | | | | | | |
| 50. -FIDELITY PURITAN FUND | A | Dividend | K | T | Redeemed (part) | 10/11/23 | J | | |
| 51. UBS FINANCIAL SERVICES INC IRA ROLLOVER | | | | | | | | | |

| | | | | | |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
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| 2. Value Codes | J = \$15,000 or less | K = \$15,001 - \$50,000 | L = \$50,001 - \$100,000 | M = \$100,001 - \$250,000 | |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000 | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 | |
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| 52. -UBS BANK USA DEP ACCT | A | Interest | K | T | | | | | |
| 53. -ISHARES CORE S&P SMALL-CAP ETF | A | Dividend | K | T | | | | | |
| 54. -ISHARES MSCI EAFE ETF | | None | | | Sold | 01/20/23 | J | A | |
| 55. -ISHARES CORE MSCI EAFE ETF | D | Dividend | M | T | Sold (part) | 07/27/23 | K | A | |
| 56. -ISHARES CORE MSCI EMERGING MARKETS ETF | B | Dividend | L | T | Sold (part) | 06/16/23 | J | A | |
| 57. -SPDR SER TRUST S&P OIL & GAS EXPL & PRODTN ETF | | None | | | Sold | 02/24/23 | J | | |
| 58. -VANGUARD VALUE ETF | B | Int./Div. | L | T | Sold (part) | 06/16/23 | J | C | |
| 59. -VANGUARD MID-CAP ETF | A | Int./Div. | L | T | | | | | |
| 60. -VANGUARD GROWTH ETF | A | Int./Div. | L | T | Sold (part) | 01/16/23 | K | D | |
| 61. -VANGUARD RUSSELL 1000 GROWTH ETF | A | Int./Div. | K | T | Buy (add'l) | 11/10/23 | J | | |
| 62. -VANGUARD RUSSELL 1000 VALUE | A | Int./Div. | K | T | Buy (add'l) | 11/10/23 | J | | |
| 63. -VANGUARD RUSSELL 2000 ETF | A | Int./Div. | K | T | Buy (add'l) | 12/18/23 | J | | |
| 64. -ISHARES 20 YEAR TREAS BOND ETF | B | Dividend | K | T | Buy (add'l) | 07/11/23 | J | | |
| 65. -ISHARES BROAD USD INVT GRADE CORPORATE BOND ETF | C | Dividend | M | T | Buy (add'l) | 07/11/23 | K | | |
| 66. -ISHARES MBS ETF | | None | | | Sold | 04/21/23 | J | A | |
| 67. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF | A | Dividend | J | T | Buy (add'l) | 06/20/23 | J | | |
| 68. -ISHARES BROAD USD HIGH YIELD BOND ETF | B | Dividend | K | T | Buy (add'l) | 06/20/23 | K | | |

| | | | | | |
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| 69. -ISHARES 0-3 MNTH TREASURY BOND ETF | A | Dividend | J | T | Buy | 07/14/23 | J | | |
| 70. -SCHWAB US TIPS ETF | A | Dividend | J | T | Buy | 09/12/23 | J | | |
| 71. -VANECK VECTORS JP MORGAN EM LOCAL CURRENCY BOND ETF | A | Dividend | J | T | Buy (add'l) | 07/11/23 | J | | |
| 72. -VANGUARD INTER TERM TREAS ETF | A | Dividend | K | T | Buy (add'l) | 07/11/23 | J | | |
| 73. -INVESCO OPTIMUM YIELD DIVERSIFIED COMMODITY STRATEGY | | None | | | Sold | 06/16/23 | J | | |
| 74. UBS FINANCIAL SERVICES INC IRA ROLLOVER | | | | | | | | | |
| 75. -UBS BANK USA DEP ACCT | A | Interest | J | T | | | | | |
| 76. -ESCROW LB PAR VALUE | | None | | T | | | | | |
| 77. -MAN-AHL DIVERSIFIED I CLASS B | A | Int./Div. | L | T | | | | | |
| 78. UBS FINANCIAL SERVICES INC TRADITIONAL IRA | | | | | | | | | |
| 79. -UBS BANK USA DEP ACCT | A | Interest | K | T | | | | | |
| 80. -INVESCO OPPENHEIMER S&P SMALLCAP 600 REV ETF | A | Int./Div. | K | T | | | | | |
| 81. -ISHARES CORE S&P SMALL-CAP ETF | A | Int./Div. | L | T | | | | | |
| 82. -ISHARES GLOBAL ENERGY ETF | A | Int./Div. | J | T | | | | | |
| 83. -ISHARES CORE MSCI EAFE ETF | C | Int./Div. | L | T | | | | | |
| 84. -ISHARES CORE MSCI EMERGING MARKETS ETF | B | Int./Div. | L | T | | | | | |

| | | | | | |
|--|--|--|--|--|------------------------|
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| 2. Value Codes (See Columns C1 and D3) | J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000 | M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal U =Book Value | R =Cost (Real Estate Only) V =Other | S =Assessment W =Estimated | T =Cash Market | |

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

08/12/2024

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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| | (1) Amount Code 1 (A-H) | (2) Type (e.g., div., rent, or int.) | (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | (1) Type (e.g., buy, sell, redemption) | (2) Date mm/dd/yy | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) |
| | | | | | | | | |
| 85. -SCHWAB FUNDAMENTAL INTL LARGE CO INDEX EFT | B | Int./Div. | K | T | | | | |
| 86. -FIRST EAGLE OVERSEAS FUND CLASS I | A | Int./Div. | K | T | | | | |
| 87. -THE GABELLI GOLD FUND INC CLASSI | A | Int./Div. | J | T | | | | |
| 88. -UBS US QUALITY GROWTH | B | Int./Div. | N | T | | | | |
| 89. -VAN ECK GLOBAL HARD ASSETS CL Y | A | Int./Div. | J | T | | | | |
| 90. -ISHARES SHORT-TERM 1-5 CREDIT CORPORATE BOND ETF | B | Int./Div. | K | T | | | | |
| 91. -BNY MELLON INTERNATIONAL BONF DUND - CLASS 1 | A | Int./Div. | K | T | | | | |
| 92. -DOUBLE LINE TOTAL RETURN FUND INSTL | A | | | | Sold | 11/20/23 | L | |
| 93. -JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS 1 | C | Int./Div. | L | T | | | | |
| 94. -LORD ABBETT BOND DEBENTURE FUND CLASS F | B | Int./Div. | K | T | | | | |
| 95. -METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS 1 | B | Int./Div. | K | T | | | | |
| 96. -PIMCO TOTAL RETURN FUND CLASS 12 | B | Int./Div. | K | T | | | | |
| 97. MERRILL LYNCH-RAMIREZ WEALTH MANAGEMENT | | | | | | | | |
| 98. -CASH/MONEY ACCOUNTS - BANK OF AMERICA | A | Interest | J | T | | | | |
| 99. -GNM SECURITY BOND | A | Interest | J | T | | | | |
| 100. -GNM SECURITY BOND | A | Interest | J | T | | | | |
| 101. UBS FINANCIAL SERVICES INC ACCOUNT RMA SA | | | | | | | | |

| | | | | | |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less | B = \$1,001 - \$2,500 | C = \$2,501 - \$5,000 | D = \$5,001 - \$15,000 | E = \$15,001 - \$50,000 |
| (See Columns B1 and D4) | F = \$50,001 - \$100,000 | G = \$100,001 - \$1,000,000 | H1 = \$1,000,001 - \$5,000,000 | H2 = More than \$5,000,000 | |
| 2. Value Codes | J = \$15,000 or less | K = \$15,001 - \$50,000 | L = \$50,001 - \$100,000 | M = \$100,001 - \$250,000 | |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000 | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 | |
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| 3. Value Method Codes | Q = Appraisal | R = Cost (Real Estate Only) | S = Assessment | T = Cash Market | |
| (See Column C2) | U = Book Value | V = Other | W = Estimated | | |

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Name of Person Reporting

RAGGI, REENA

Date of Report

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

| A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|-------------------------|---------------------------------|--------------------------------|--|
| | (1) Amount Code 1 (A-H) | (2) Type (e.g., div., rent, or int.) | (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | (1) Type (e.g., buy, sell, redemption) | (2) Date mm/dd/yy | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | |
| 102. -UBS BANK USA DEP ACCT/MMF YIELD | A | Interest | L | T | | | | | |
| 103. -US TREASURY BILL 06/15/23 | B | Interest | | | Sold | 05/25/23 | N | | |
| 104. -US TREASURY BILL MATURES 10/03/2024 | A | Interest | N | T | Buy | 10/10/23 | N | | |
| 105. -US TREASURY BILL MATURES 11/29/2024 | A | Interest | O | T | Buy | 12/18/23 | O | | |
| 106. -US TREASURY NOTE RATE 0.8750% MATURES 01/31/2024 | B | Interest | N | T | Buy | 02/09/23 | N | | |
| 107. -US TREASURY NOTE RATE 0.2500% MATURES 06/15/24 | A | Interest | N | T | Buy | 02/09/23 | N | | |
| 108. -US TREASURY NOTE RATE 4.250% MATURES 09/30/2024 | D | Interest | N | T | Buy | 02/09/23 | N | | |
| 109. -ISHARES RUSSELL 2000 ETF | A | Interest | J | T | | | | | |
| 110. -ISHARES CORE S&P SMALL-CAP ETF | B | Int./Div. | M | T | | | | | |
| 111. -ISHARES RUSSELL 1000 VALUE ETF | A | Dividend | K | T | | | | | |
| 112. -ISHARES SELECT DIVID ETF | B | Int./Div. | K | T | | | | | |
| 113. -ISHARES CORE MSCI EAFE ETF | D | Int./Div. | M | T | | | | | |
| 114. -ISHARES CORE MSCI EMERGING MARKETS ETF | B | Int./Div. | L | T | | | | | |
| 115. -VANGUARD VALUE ETF | A | Int./Div. | K | T | | | | | |
| 116. -VANGUARD DIVID APPRECIATION | A | Int./Div. | K | T | | | | | |
| 117. -BNY MELLON SMALL/MID CAP GROWTH FUND | B | Int./Div. | L | T | | | | | |
| 118. -CALAMOS EVOLVING WORLD GROWTH FUND CLASS 1 | A | Int./Div. | L | T | | | | | |

| | | | | | |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less | B = \$1,001 - \$2,500 | C = \$2,501 - \$5,000 | D = \$5,001 - \$15,000 | E = \$15,001 - \$50,000 |
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| 2. Value Codes | J = \$15,000 or less | K = \$15,001 - \$50,000 | L = \$50,001 - \$100,000 | M = \$100,001 - \$250,000 | |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000 | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 | |
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| 3. Value Method Codes | Q = Appraisal | R = Cost (Real Estate Only) | S = Assessment | T = Cash Market | |
| (See Column C2) | U = Book Value | V = Other | W = Estimated | | |

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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| | (1) | (2) | (1) | (2) | (1) | (2) | (3) | (4) | |
| | Amount Code 1 (A-H) | Type (e.g., div., rent, or int.) | Value Code 2 (J-P) | Value Method Code 3 (Q-W) | Type (e.g., buy, sell, redemption) | Date mm/dd/yy | Value Code 2 (J-P) | Gain Code 1 (A-H) | |
| 119. -FIRST EAGLE OVERSEAS FUND CLASS I | A | Int./Div. | M | T | | | | | |
| 120. -UBS US DIVIDEND RULER PRICE FUND CLASS P | C | Int./Div. | N | T | | | | | |
| 121. -UBS US QUALITY GROWTH AT REASONABLE PRICE FUND CLASS P | A | Int./Div. | M | T | | | | | |
| 122. -BANK AMER CORP SER KK 5.375% PREFERRED CLBL PAR VALUE | B | Interest | L | T | Buy | 09/13/23 | L | | |
| 123. -JPMORGAN CHASE & CO SER DD 5.75% PREFERRED CLBL PAR VALUE | B | Interest | L | T | Buy | 09/13/23 | L | | |
| 124. -MORGAN STANLEY SER K OREFERRED CLBL PAR VALUE RT 5.85% | B | Interest | L | T | Buy | 09/13/23 | L | | |
| 125. -WELLS FARGO & CO 4.75% PREFERRES CLBL PAR VALUE | B | Interest | L | T | Buy | 09/13/23 | L | | |
| 126. UBS FINANCIAL SERVICES INC TRADITIONAL IRA | | | | | | | | | |
| 127. -UBS BANK USA DEP ACCOUNT | A | Interest | J | T | | | | | |
| 128. UBS FINANCIAL SERVICES INC RMA MPF FI-MANAGED BY HV ETF MUNICIPAL | | None | | | Closed | 02/07/23 | P1 | | |
| 129. -UBS INSURED SWEEP PROGRAM | | None | J | T | | | | | |
| 130. -INVESCO NATL AMT FREE MUNICIPAL BOND ETF | | None | | T | Sold | 02/07/23 | N | | |
| 131. -ISHARES 20 YEAR TREAS BOND ETF | | None | | | Sold | 02/07/23 | M | | |
| 132. -ISHARES MBS ETF | | None | | | Sold | 02/07/23 | J | | |
| 133. -ISHARES NATL MUNI BOND ETF | | None | | | Sold | 02/07/23 | O | | |
| 134. -ISHARES JP MORGAN USD EMERGING MARKETS BOND ETF | | None | | | Sold | 02/07/23 | M | | |

| | | | | | |
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FINANCIAL DISCLOSURE REPORT

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| | Amount Code 1 (A-H) | Type (e.g., div., rent, or int.) | Value Code 2 (J-P) | Value Method Code 3 (Q-W) | Type (e.g., buy, sell, redemption) | Date mm/dd/yy | Value Code 2 (J-P) | Gain Code 1 (A-H) |
| 135. -ISHARES SHORT-TERM NATL MUNI BOND ETF | | None | | | Sold | 02/07/23 | M | |
| 136. -ISJARES BROAD USD HIGH YIELD BOND ETF | | None | | | Sold | 02/07/23 | M | |
| 137. -VANGUARD INTER TERM TREAS ETF | | None | | | Sold | 02/07/23 | M | |
| 138. -VANGUARD SHORT-TERM TREAS ETF | | None | | | Sold | 02/07/23 | M | |
| 139. UBS FINANCIAL SERVICES INC-RMA | | | | | | | | |
| 140. -UBS INSURED SWEEP PROGRAM | A | Interest | J | T | | | | |
| 141. -CITIBANK NA BAR-MLCD SPX 03/22/2024 | A | Interest | L | T | | | | |
| 142. -GOLDMAN SACH BANK USA BAR-MLCD SPX 02/15/2024 | A | Interest | L | T | | | | |
| 143. -GOLDMAN SACH BANK USA BAR-MLCD SPX 05/20/2024 | A | Interest | L | T | | | | |
| 144. GOLDMAN SACH BANK USA BAR-MLCD SPX 05/31/2024 | A | Interest | L | T | | | | |
| 145. -CITIBANK NA BAR-MLCD SPX 08/30/2024 | A | Interest | L | T | Buy | 02/23/23 | L | |
| 146. | | | | | | | | |
| 147. | | | | | | | | |
| 148. | | | | | | | | |
| 149. | | | | | | | | |
| 150. | | | | | | | | |
| 151. | | | | | | | | |

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FINANCIAL DISCLOSURE REPORT

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| | (1) | (2) | (1) | (2) | (1) | (2) | (3) | (4) |
| | Amount Code 1 (A-H) | Type (e.g., div., rent, or int.) | Value Code 2 (J-P) | Value Method Code 3 (Q-W) | Type (e.g., buy, sell, redemption) | Date mm/dd/yy | Value Code 2 (J-P) | Gain Code 1 (A-H) |
| 152. | | | | | | | | |

| | | | | | |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
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Name of Person Reporting

RAGGI, REENA

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

LINE 7 PART VII-CITI PERSONAL WEALTH RETIREMENT PLANS-IRA 0 ACCOUNT WAS CLOSED AND ALL ASSETS TRANSFERRED TO
CHARLES SCHWAB-CONTRIBUTORY IRA-HIGHTOWER ADVISORS LLC LINE 13

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RAGGI, REENA

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ REENA RAGGI**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544